

National Accreditation  
Agency of Ukraine

Approved by  
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dated 07.07.2014

## MANAGEMENT SYSTEM

**General document**

**Qualifying requirements,**

**procedure and rules**

**for accreditation personnel attestation**

**(Approved and recommended for using by the Accreditation Council  
through electronic voting 04.07.2014)**

<b>Qualifying requirements, procedure and rules for accreditation personnel attestation</b>			<b>NAAU</b>	
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## 1 Scope

Qualifying requirements for accreditation personnel, procedure and rules of their training and attestation (hereinafter – the Document) is developed by the National Accreditation Agency of Ukraine (hereinafter – NAAU) to implement of 6 and 7 provisions of the Law of Ukraine “On accreditation of conformity assessment bodies”.

The Document is obligatory for accreditation personnel involved in works of conformity assessment bodies (hereinafter - CAB) accreditation.

This document is applied to NAAU, Accreditation Council, Technical Accreditation Committee (hereinafter – TAC), Accreditation Personnel Attestation Commission (hereinafter – Commission) and accreditation personnel.

## 2 Terms and definitions

Terms are used in this document as follows:

**Accreditation personnel** - lead assessors, assessors, experts registered in accreditation personnel register maintained by NAAU (hereinafter – NAAU Register) and involved in accreditation works by NAAU;

**Lead assessor** - an assessor attested by NAAU fully responsible for defined types of accreditation works as assessment team leader.

**Assessor** - an expert attested by NAAU to carry out conformity assessment body accreditation independently or as an assessment team member;

**Expert** - a specialist and assessment team member who has a professional knowledge and experience in a certain economy, knows rules of accreditation works and normative documents in the line of activities

**NAAU Register** - a system of data concerning accreditation personnel kept by NAAU.

## 3 General provisions

3.1. 4-9 sections of the Document contain general requirements for accreditation personnel.

3.2. Additional requirements for accreditation personnel in field of construction and building materials, road vehicles are stated in 10-11 sections of the Document.

3.3. Accreditation personnel on accreditation officially recognised in NAAU are specialists in different economies that fulfil the requirements of the Document and are registered in the NAAU Register.

3.4. The Commission attests lead assessors and assessors to the right to perform one or several kinds of accreditation works in the selected specialisation, namely:

- certification bodies (hereinafter - CB) of products, processes and services (according to certification objects, certification schemes and procedures of conformity assessment – for assessors, according to the standard - lead assessors);
- CB of management systems (according to activities for lead assessors (for instance, ISO 9001 or ISO 1400) and according to activities (for instance, ISO 9001 or ISO 1400) and according to economies defined during CAB accreditation);
- CB of personnel (according to activity scope);

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- inspection bodies (according to the objects and inspection types – for assessors, according to the standard – for lead assessors);
- testing laboratories (according to testing methods);
- calibration laboratories (according to types of measurements);
- medical laboratories (according to activity scope).

Note 1: Attested assessor can be appointed as an assessment team leader.

Note 2: The lead assessor, attested for accreditation of one type of CAB can be involved by the assessment leader for assessment of other type of CAB only in case of passing training per appropriate standard.

3.5. Experts are registered in the Register of accreditation personnel for three years. The Experts take part in assessments of:

- CB of products, processes and services (according to certification objects, certification schemes and procedures of conformity assessment);
- CB of management systems (according to economies defined during CAB accreditation);
- CB of personnel (according to activity scope of personnel);
- testing laboratories (according to testing methods);
- calibration laboratories (according to types of measurements);
- inspection bodies (according to objects and inspection types);
- medical laboratories (according to activity scope).

3.6. Decision on recognition of an assessor certificate issued by accreditation bodies of other countries is made by the Commission.

3.7. Procedure of submission of application with a set of documents, registration and withdrawal of experts from the NAAU Register determined in procedure of accreditation personnel management.

3.8. The NAAU Register is carried out according to procedure determined in NAAU.

3.9. Accreditation personnel must sign “Cooperation Agreement” according to which it is obliged to fulfil the requirements determined by NAAU.

## **4 Requirements for accreditation personnel**

### **4.1 Requirements for lead assessors**

4.1.1. Lead assessor must be attested as an assessor on accreditation.

4.1.2 Lead assessor must have management ability and knowledge in assessment organization and conducting as well as must be able to:

- plan an assessment and provide efficient use of resources during assessment;
- select assessment team, organize and direct its members’ work;
- manage and control assessors’ activity;
- ensure drawing up the assessment team members’ reports;
- prevent and solve conflicts, if conflict is initiated to eliminate it;
- prepare and draw up an assessment statement.

4.1.3 Lead assessor must have an experience of participation in not less than three CAB assessments as assessment team leader.

### **4.2. Requirements for assessors**

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4.2.1 Assessor on accreditation must have a special higher education in corresponding sphere of activity (master's degree, specialist) and at least 5 years work experience in respective field of economy, including at least 2 years practice in corresponding direction of accreditation works.

4.2.2. Assessor on accreditation also must:

- be acquainted with normative legal regulations in corresponding field of economy, normative legal regulations, provisions and procedures on accreditation;
- have thorough knowledge of assessment methods and documents used during accreditation process;
- have special knowledge in laboratories activity within the limits of accreditation scope (for assessors of testing, calibration and medical laboratories);
- be acquainted with production engineering and specifications of processes and services (for assessors of production, processes and services CB);
- be able to assess management systems, know quality management system principles and control methods of management systems (for assessors on accreditation of management system CB);
- have respective technical knowledge in defined field of activity (for assessors of personnel CB and inspection bodies accreditation);
- be free from any commercial, financial, other pressures or conflicts of interests;
- not to give consultancy that can damage their impartiality during accreditation and decision-making.

### **4.3. General requirements for assessors**

4.3.1. Assessor must have personal qualities necessary for assessment performance. He must be:

- impartial, tactful, sociable;
- have logical thinking, be able to communicate in written and oral form;
- comply with professional ethics;
- be assured, act and work independently during cooperation with other people;
- be observant, persistent and purposeful.

4.3.2. Assessor on accreditation must know and understand principles, criteria and fundamental requirements used in accreditation.

4.3.3. Assessors must be qualified in application of assessment techniques, including surveys, assessors' examination, and selection during assessment, oral and written communication, evidence gathering and observations review during assessment.

4.3.4. Assessor must have general knowledge in management systems and processes typical for organization in which assessment is carried out. It can include but it is not restricted by them: policy and aims, planning, model of testing and/or calibration methods, approval and implementation, quality control, quality assurance and improvement of implementations etc.

### **4.4 Requirements for experts**

4.4.1 Expert must be a specialist in a certain field of economy and have special knowledge.

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4.4.2. Expert must have special higher education in corresponding sphere of activity (master's degree, specialist) or at least 5 years work experience in respective field of economy.

4.4.3. If expert has incomplete higher education (baccalaureate) or secondary education he must have no less 10 years work experience in respective direction.

4.4.4. Expert must be acquainted with normative and legal regulations concerning corresponding field of economy, normative legal regulations, provisions and procedures on accreditation.

4.4.5. Expert must:

- have special knowledge in laboratory activity field within accreditation scope, including the requirements for testings/calibrations (experts for accreditation of testing, calibration and medical laboratories);
- know how to use methods for estimation of measurement uncertainty (if necessary);
- be able to analyze results of participation in interlaboratory comparative tests (when relevant);
- know terminology in CAB's accreditation scope.

## 5 Procedure of assessor and experts training

5.1 Assessor training includes special training (in the framework of the seminar on the training of assessors held by NAAU) and participation in assessments (according corresponding activity of accreditation).

5.2. To obtain a desired status of assessor, in case of positive TAC conclusion, an expert undergoes special training conducted by NAAU as a seminar.

Note 1: Experts being tested by NAAU with positive result are admitted to special training.

Note 2: Experts of recognised foreign accreditation bodies may be registered in the NAAU Register without TAC recommendation and special training conducted by NAAU in case of submitting relevant evidences.

5.3. The expert must take part in at least two assessments (1- accreditation of conformity assessment body, 1 – surveillance after conformity assessment body) according to chosen specialization.

5.4. Management, organization and observance of the assessor's work is entrusted to the lead assessor appointed as an assessment team leader by NAAU order.

5.5. Payment for NAAU accreditation personnel training is made irrespective of received attestation results.

## 6 Procedure of attestation

6.1 The Commission of personnel performs assessors' attestation. Members of the Commission shall be co-ordinated with the Accreditation Council and approved by the order of NAAU.

6.2 The session of the attestation commission is competent if not less than half of members were attended.

6.3 The attestation of assessor consists of the following stages:

- examination of submitted documents;
- carrying out an interview (if necessary);

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- making decision on assessor's attestation;
- official registration of assessor's attestation results in the minutes of the Attestation Commission session.

6.4 All documents indicated in the application as well as decision of TAC subcommittee, information about basic training and special training, questionnaire on indication of qualification and monitoring results of competence level are submitted to the Commission for consideration.

6.5. If a candidate does not meet certain concrete requirements the Commission can make final decision according to the results of interview.

6.6 According to results of examination of submitted documents and the interview (if necessary) the Commission makes a decision on attestation of the specialist or about refusal of his candidature. The decision is made by a majority vote. In case of even vote's distribution the decision shall be taken that for which the Chairman of Commission voted.

The secretary is carrying out the records keeping – is the NAAU employee, responsible for management of accreditation personnel.

Minutes of session are signed by the Chairman of Commission and by the secretary.

6.7 The specialist, whose candidacy was rejected, has a right to repeated attestation in a year.

6.8 The order of repeated attestation is determined by NAAU. Depending on the results of assessor's activities for previous three years may provide for a full or a brief procedure. If an assessor (lead assessor) annually took part in assessments, seminars for accreditation personnel and got positive monitoring results of competence level his repeated attestation is carried out automatically.

## **7 Procedure of drawing up, registration and issue of certificate**

7.1 In case of positive result as to the attestation NAAU registers and issues corresponding certificates within a month.

7.3 The attestation certificate is valid for three years.

7.3 In the NAAU Register keeps records of personal files of accreditation personnel and records of issued assessor's certificates.

## **8 Maintenance of proper level of competence**

8.1. The assessors have to maintain level of their competence by:

- experience of practical work
- permanent monitoring of changes in normative legal regulations in corresponding fields of economy, normative documents on accreditation matters, procedures, methods on assessment;
- annual participations in seminars, conferences and other measures organized by NAAU for assessors.

8.2. Evaluation of the proper level of accreditation personnel competence is performed by monitoring of results analysis.

## **9 Cancellation of assessor certificates**

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9.1 Certificates are cancelled in case of:

- availability of proved gross violations of accreditation personnel (inauthenticity and partiality of assessment, violation of professional ethical norms, noncompliance of confidentiality etc);
- repeated refusal to participate in further professional development (seminars, training etc, organized by NAAU).
- according to an assessor application (because of age, illness etc.).

9.2 The Commission makes a decision on cancellation of assessor certificate.

The assessor is informed about the decision on certificate cancellation in writing.

9.3 In case of assessor certificate cancellation his data is removed from the NAAU Register.

## **10 Additional requirements for accreditation personnel in the field of construction and building materials**

10.1 Assessors involved in accreditation works in the field of construction and building materials must have work experience (no less than 3 years) on enterprises, institutes, organizations of respective field of economy on the positions no lower than of leading engineer.

10.2 Experts involved in accreditation works in the field of construction and building materials must have work experience (no less than 10 years) on enterprises, in the institutes, and organisations of respective field of economy.

## **11 Additional requirements for accreditation personnel in the field of wheeled vehicles**

11.1. Assessor of testing laboratories accreditation in the field of wheeled vehicles must be acquainted with:

- certification system of wheeled vehicles, their component parts and facilities that are in force in leading countries of Western Europe (mainly in EU countries);
- Geneva Agreement dated 1958 “On adoption of unified technical instructions for wheeled vehicles, facilities and components which can be installed and/or used on them and on conditions of mutual recognition of official approvals issued on the basis of these instructions, 1958 with amendments of 1995”;
- rules of EEC UNO and EU Directives: structure, contents of the basic section, actualization, amendments etc;
- Directive 2002/24/EU of European Parliament and Council of 18 March, 2002 on approval of type of two- or three wheeled vehicles, which revokes Council Directive 92/61/EEC and Directive 2002/46/EU of European Parliament and Council of 5 September, 2007, which sets frame for approval of vehicles and trailers to them, and also systems, components and separate technical blocks purposed for such vehicles;
- basic legislative and normative documents related to certification of wheeled vehicles, their components and equipment in Ukraine;
- certification rules, technical regulations in the field of wheeled vehicles;
- “The list of basic measuring equipment and testing equipment required for wheeled vehicles testing on compliance with the normative documents (in full volume) acting in Ukraine.

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11.2. Assessor of Certification body's accreditation in the field of wheeled vehicles must know:

- certification system of wheeled vehicles, their component parts and equipment that is in force in leading countries of Western Europe (mainly in EU countries);
- Geneva Agreement "On adoption of unified technical instructions for wheeled vehicles, facilities and components which can be installed and/or used on them and on conditions of mutual recognition of official approvals issued on the basis of these instructions, 1958 with amendments of 1995";
- rules of EEC UNO and EU Directives: structure, contents of the basic sections, actualization, amendments etc;
- Directive 2002/24/EU of European Parliament and Council of 18 March, 2002 on approval of type of two- or three wheeled vehicles, which revokes Council Directive 92/61/EEC;
- Directive 2002/46/EU of European Parliament and Council of 5 September, 2007, which sets frame for approval of vehicles and trailers to them, and also systems, components and separate technical blocks purposed for such vehicles;
- basic legislative and normative legal documents related to certification of wheeled vehicles, their components and equipments in Ukraine;
- "The list of basic measurement equipment and testing equipment required for wheeled vehicles testing on compliance with the normative documents (in full volume) acting in Ukraine.

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